



6 CASELOAD MANAGEMENT

Effective: 10/1/97

6.1 Caseload Assignments

Revised: 01/01/03

POLICY: Contracted caseload is calculated mid-year for the next contract year and adjustments are made to caseload at the beginning of the contract year. Resources will be distributed to projects serving participants using the following procedures. The State WIC Office has the discretion to respond to the changing economy and limited resources. The goal is that the contracted caseload of projects reflects the most current participation to fund project operations. At mid-year, the attainment of serving contracted caseload is reviewed. Increases in contracted caseload are assigned. In place of decreases in contracted caseload, a portion of the funding allocation must remain unspent at the end of the year.

PROCEDURE:

A. ANNUAL ASSIGNMENT PROCESS

1. Annual funding is determined using the methods below. Refer to Contract Negotiation Materials. These calculations are made 6 months in advance of the calendar year to begin the contracting and budget process. This initial funding is updated effective January first.
 - a) Monthly project ADP (automated data processing) counts (WIC801) of single county WIC Projects are entered on the 12-month spreadsheet, averaged and reviewed. Note: the previous 12 months are averaged. When a project has not been functioning for 12 months, data from the actual number of months in operation will be averaged.
 - b) For multi-county projects, the 4 quarterly reports of participation by county (WIC832) are averaged. The Native American participants are deducted in those counties where Native Americans are served by a tribal WIC clinic.
 - c) In counties with more than one project, the allocation is based on average participation for the county from the quarterly WIC 832 reports. The contracted caseload is prorated in the county by the participation counts of each project.
 - d) For larger projects (project contracted with approximately 4000 participants or more), the actual caseload count is so great between the 93-103% allowable variances that the percentages do not apply. For these projects, a variance of more than 200 people will be used instead of the percentage of caseload.



- e) The percentage of caseload the project is serving is calculated from the average. If the 12-month average is less than 93% or greater than 100%, contracted caseload is adjusted.
- f) If the project participation has an increasing trend and if the last month is greater than the average, the last month participation is used in the allocation formula calculation.
- g) Beginning with CY 2003, migrants will be included in a project's regular participation counts. The State WIC Office will continue to monitor fluctuations in seasonal and regular participation and make appropriate caseload adjustments.
- h) Adjustments in contracted caseload occur in October for the Tribal WIC Projects and during February for all other projects. The effective date of caseload adjustment is set for the beginning of the contract year (October 1st for the tribes and January 1st for all other projects). The most recent 12-month averages are reviewed. Agency Directors will be notified in writing of the caseload changes and the pending grant award amendment. A budget revision is required. Contracted caseload adjustments are determined as follows:
 - (1) The percentage of caseload the project is serving is calculated from the 12-month average. If the 12-month average is less than 93% or greater than 100%, contracted caseload is adjusted.
 - (2) For larger projects (project contracted with approximately 4000 participants or more), a variance of more than 200 people will be used instead of the percentage of caseload.
- i) The most recent 12-month averages and increasing trends will be compared to the contracted caseload on an ongoing basis as the participation changes with the economy or unemployment. Examples of special situations include rapid decreases due to clinic or project closings and increases for neighboring projects which accept these participants, etc. and other situations that might require some discretion in determining a fair contracted caseload and grant award.

B. MID YEAR REVIEW

1. Mid-year review: The mid-year review for the tribal projects is conducted in March using March - February ADP counts. For all other projects, the most recent 12-month average participation (June – May ADP counts) is reviewed in June. When a project has not been functioning for 12 months, data from the actual number of months in operation will be used. The adjustments are based on



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the 93% and 103% variances and for larger projects, a variance of more than 200 people is used. If a situation arises where participation levels are changing more rapidly than normal, this policy may be modified to accommodate more frequent grant adjustments.

- a) The result of under-serving contracted caseload is to return funds at the end of the fiscal year. The grant agreement will not be amended mid-year. A letter will be sent to the Agency Director stating the dollar amount to be left unspent at the end of the fiscal year.
- b) If the project is serving participants over the contracted caseload, increases in contracted caseload will be assigned. Agency Directors will be notified in writing of the caseload changes and the pending grant award amendment. A budget revision is required.